

III-A Allotment File Reporting

Allotments are further refinements of approved budget appropriations. Allotments can be established on a quarterly or annual basis. Salary and wages allotments are usually established for each quarter of the fiscal year, while operating expense allotments are established on an annual basis. Annual allotments for salaries and wages or operating expense should be entered as First Quarter Allotments. Since allotments are at a lower level than appropriations, they provide additional controls against the over-expenditure of funds. The Allotment File provides the ability to account for and control allotments on a programmatic, organizational, fund and/or object of expenditure basis. The Allotment File is designed to record, control and monitor the flow of encumbrances, obligations/accounts payable and expenditures to avoid an over commitment of funds.

The financial fields in the Allotment File include four quarterly authorization periods, expenditures (actual and accrued), encumbrances, allocated encumbrances, obligations, advances, and reimbursements (estimated, actual and accrued). These financial fields permit accounting and reporting on either a cash or accrual basis.

FILE INFORMATION

Exhibit III-A-1 identifies the source of data and controlling factors that determine the control key for the Allotment File. Not all elements listed in the control key are used by each agency. Building the key depends on posting indicators established by the agency in its tables as shown on the chart. Posting indicators are explained in Volume 2, Chapter IV, Table Maintenance Coding Procedures.

Detailed descriptions and illustrations of the Allotment File reports are on the pages following the Allotment File Key chart.

EXHIBIT II-A-1
ALLOTMENT FILE KEY

NAME	SOURCE	CONTROLLING FACTORS
Organization	Sign on/Security	Name/Password
Index Number	Transaction	If IC Table Allotment Org Level Indicator equals 6 or G
PCA Number	Transaction	If PA Table Allotment Program Level Indicator equals 5 or F
FFY	Transaction	None
Program	PA Table look-up	If PA Table Allotment Program Level Indicator equals 1 - 5 or B - F
Element	PA Table look-up	If PA Table Allotment Program Level Indicator equals 2 - 5 or C - F
Component	PA Table look-up	If PA Table Allotment Program Level Indicator equals 3 - 5 or D - F
Task	PA Table look-up	If PA Table Allotment Program Level Indicator equals 4, 5, E, or F
Reference	AS Table look-up	If Fund is posted to File
Fund	Coded or PA look-up	If IC Table Allotment Org Level Indicator equals A - G <u>OR</u> If PA Table Allotment Program Level Indicator equals A - F
Fund Source	Coded or PA look-up	If Fund posted to File
Method	Coded or PA look-up	If Fund posted to File
Fund Detail	Coded or PA look-up	If D23 Allotment Control Indicator equals 1
Character	AS Table look-up	If Fund posted to File
Category	Transaction Object	If AS Table Allotment Object Level indicator equals 1, 2, 3 or 4
Object	Transaction Object	If AS Table Allotment Object Level indicator equals 2, 3 or 4
Object Detail	Transaction	If AS Table Allotment Object Level indicator equals 3 or 4
Agency Object	Transaction	If AS Table Allotment Object Level indicator equals 4
Section	IC Table look-up	If IC Table Allotment Org Level Indicator equals 1 - 6 or B - G
Sub-Section	IC Table look-up	If IC Table Allotment Org Level Indicator equals 2 - 6 or C - G
Unit	IC Table look-up	If IC Table Allotment Org Level Indicator equals 3 - 6 or D - G
Sub-Unit	IC Table look-up	If IC Table Allotment Org Level Indicator equals 4 - 6 or E - G
Sub-Sub-Unit	IC Table look-up	If IC Table Allotment Org Level Indicator equals 5, 6, F or G
Enactment Year	AS Table look-up	None or FFY if no AS

EXHIBIT III-A02

REPORT NAME:	Allotment Status by Program, Organization and Object	REPORT NO:	CSTARA02
PURPOSE:	Displays allotments, expenditure activity and balances.		
DESCRIPTION:	The report lists allotments and expenditure activity against those allotments by fund, program, organization and object.		
REPORT REQUEST OPTIONS:			
Report Period:			
FM: CM, PM or PY			
P: C=Current Fiscal Year Only; P=All Prior Fiscal Years; Blank=All Fiscal Years			
Level of Detail:			
<u>Index (I)</u>	<u>Program (P)</u>	<u>Object/Source(O/S)</u>	<u>Fund (F)</u>
0-No Organization	0-No Program	0-No Object	0-No Fund
1-Section	1-Program	1-Category	1-Fund & Reference
2-Sub-Section	2-Element	2-Object	2-Fund Detail & Reference
3-Unit	3-Component	3-Object Detail	
4-Sub-Unit	4-Task	4-Agency Object	
5-Sub-Sub-Unit	5-PCA		
6-Index			
Fund Selection: Not applicable			
GLA Selection: Applies to the Encumbrances/Allocated Encumbrances column only.			
Blank = Includes Allocated Encumbrances			
6150 = Excludes Allocated Encumbrances			
Additional Report Selection Options Popup Screen: Not available			
Destination Options: All available output media			
FINANCIAL ELEMENTS:			
Allotment:	GLA=6130. The cumulative balance of the allotments through the end of the reporting period. The sum of the applicable Quarterly Allotment and Allotment Revisions fields depending on the report As Of Date: July 1st to September 30th = 1st Quarter Allotment; October 1st to December 31st = 1st & 2nd Quarter Allotment; January 1st to March 31st = 1st, 2nd & 3rd Quarter Allotment; April 1st to June 30th = 1st, 2nd, 3rd & 4th Quarter Allotment. Normal balance is a Credit.		
Expenditures:	GLA=9000, 9822 & 9844. Two expenditure balances are displayed: Current Month: The total of Accrued Expenditures and Cash Expenditures for the month reported. Year-to-Date: The total of Accrued Expenditures and Cash Expenditures since the start of the fiscal year through the month being reported. Normal balance is a Debit.		

EXHIBIT III-A02 (Continued)

REPORT NAME: Allotment Status by Program, Organization and Object	REPORT NO: CSTARA02																																
FINANCIAL ELEMENTS: (continued) <p style="margin-top: 10px;"> Encumbrances/Allocated Encumbrances/ Obligations: GLA=6150, 6160 & 6170 for CM or PM request <u>OR</u> GLA=6150, 6151 & 6170 for PY request. The amount of funds committed against the allotment for goods or services that have not yet been paid. The sum of encumbrances and allocated encumbrances. Normal balance is a Debit. </p> <p> Balance: The balance available in the allotment for future expenditure, encumbrance or obligation. Calculated as the sum of Allotment; Expenditures: Year-To-Date; Encumbrances/Allocated Encumbrances; and Obligations. Normal balance is a Credit. </p>																																	
SPECIAL NOTES: <p style="margin-top: 10px;">If AS Table Account Type is PR, Reference is shown as REF/FFY.</p> <p>At least one of the Selection Options for Index, Program, Object or Fund must be greater than zero for a report to be produced.</p>																																	
REPORT SORT: <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <thead> <tr> <th style="text-align: center;">DATA FIELD</th> <th style="text-align: center;">SELECTION OPTIONS</th> <th style="text-align: center;">PAGE-BREAK</th> <th style="text-align: center;">SUB-TOTAL</th> </tr> </thead> <tbody> <tr> <td>ENY</td> <td>None</td> <td style="text-align: center;">Yes</td> <td style="text-align: center;">No</td> </tr> <tr> <td>FFY</td> <td>Report Period: P</td> <td style="text-align: center;">Yes</td> <td style="text-align: center;">Yes</td> </tr> <tr> <td>Fund</td> <td>Level of Detail: F</td> <td style="text-align: center;">Yes</td> <td style="text-align: center;">Yes</td> </tr> <tr> <td>Reference</td> <td>Level of Detail: F</td> <td style="text-align: center;">Yes</td> <td style="text-align: center;">Yes</td> </tr> <tr> <td>Program</td> <td>Level of Detail: P</td> <td style="text-align: center;">Yes</td> <td style="text-align: center;">Yes, on Program</td> </tr> <tr> <td>Organization</td> <td>Level of Detail: I</td> <td style="text-align: center;">No</td> <td style="text-align: center;">Yes, on Section</td> </tr> <tr> <td>Object Detail</td> <td>None</td> <td style="text-align: center;">No</td> <td style="text-align: center;">No</td> </tr> </tbody> </table>		DATA FIELD	SELECTION OPTIONS	PAGE-BREAK	SUB-TOTAL	ENY	None	Yes	No	FFY	Report Period: P	Yes	Yes	Fund	Level of Detail: F	Yes	Yes	Reference	Level of Detail: F	Yes	Yes	Program	Level of Detail: P	Yes	Yes, on Program	Organization	Level of Detail: I	No	Yes, on Section	Object Detail	None	No	No
DATA FIELD	SELECTION OPTIONS	PAGE-BREAK	SUB-TOTAL																														
ENY	None	Yes	No																														
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Organization	Level of Detail: I	No	Yes, on Section																														
Object Detail	None	No	No																														

EXHIBIT III-A02 (Continued)

CSTARA02 9990 (DEST: L1 CPT1) PM, ,6,2,4,1, , , , ,
FISCAL MONTH: 07 JANUARY 6(INDX) 2(ELEM) 4(AGYOBJ) 1(FUND)*****

***** RUN:02/23/01 TIME:06.01

DEPARTMENT OF AIR QUALITY
ALLOTMENT STATUS BY PROGRAM, ORGANIZATION AND OBJECT
AS OF 01/31/01

PAGE 2

ENACTMENT YEAR:	2000	
FFY:	2000	
FUND:	0000	
REFERENCE:	000	
ELEMENT:	22-00	AIR CLEANERS PROGRAM

S	SS	U	SU	SSU	INDEX	DESCRIPTION
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AGCY	OBJECT	DESCRIPTION	ALLOTMENT	EXPENDITURES		ENCUMBRANCE/		BALANCE
				CURRENT MONTH	YEAR TO DATE	ALLOC	ENC/OBLIG	
1 03	000 00	STAFF BENEFITS	343,000.00	25,858.02	170,726.35		.00	172,273.65
1 05	000 00	SALARY SAVINGS	131,000.00-	.00	.00		.00	131,000.00-
3 11	000 00	GENERAL EXPENSE	35,000.00	1,975.16	6,099.25	1,098.85		27,801.90
3 12	000 00	PRINTING	4,000.00	.00	3,418.59	3,094.38		2,512.97
3 13	000 00	COMMUNICATIONS	.00	1,915.97	4,592.80	.00		4,592.80-
3 17	000 00	TRAVEL: IN-STATE	10,000.00	.00	324.74	.00		9,675.26
3 21	000 00	TRAINING	11,000.00	179.00	296.33	.00		10,703.67
3 23	000 00	FACILITIES OPERATION	1,000.00	.00	.00	420.00		580.00
3 26	000 00	CONS/PROF SERV-EXTERNAL	629,000.00	49,347.73	333,088.65	624,858.20		328,946.85-
3 27	000 00	DEPARTMENTAL SERVICES	266,000.00	132,711.10	783,151.08	131,108.78		648,259.86-
3 32	000 00	EQUIPMENT	.00	613.23	1,157.53	1,126.43		2,283.96-
3 33	000 00	OTHER ITEMS OF EXP	100,000.00	51,784.89	192,880.81	17,016.25		109,897.06-
9 91	000 00	INTERNAL COST RECVRY	.00	109,377.51-	596,827.73-	121,496.57-		718,324.30
*TOTAL SEC 19			3,671,000.00	333,672.99	2,029,114.71	657,226.32		984,658.97
23 10	00 00 00	2300 AIR CLEANERS DIVISION						
1 01	000 00	SALARIES AND WAGES	6,663,000.00	512,445.38	3,326,486.97	.00		3,336,513.03
1 03	000 00	STAFF BENEFITS	1,140,000.00	85,595.70	567,550.60	.00		572,449.40
1 05	000 00	SALARY SAVINGS	324,000.00-	.00	.00	.00		324,000.00-
3 11	000 00	GENERAL EXPENSE	33,000.00	3,466.94	26,431.91	5,110.61		1,457.48
3 12	000 00	PRINTING	7,000.00	.00	6,143.03	2,930.90		2,073.93-
3 13	000 00	COMMUNICATIONS	.00	632.69	3,985.04	513.50		4,498.54-
3 17	000 00	TRAVEL: IN-STATE	9,000.00	2,916.81	8,998.86	.00		1.14
3 18	000 00	TRAVEL: OUT-OF-STATE	.00	1,080.00	1,080.00	.00		1,080.00-
3 21	000 00	TRAINING	14,000.00	1,627.80	3,005.33	.00		10,994.67
3 23	000 00	FACILITIES OPERATION	3,000.00	.00	1,531.20	4,938.80		3,470.00-
3 26	000 00	CONS/PROF SERV-EXTERNAL	1,610,000.00	318,985.99	1,199,665.81	2,800,645.26		2,390,311.07-
3 27	000 00	DEPARTMENTAL SERVICES	744,000.00	530,881.64	2,830,091.72	1,172,911.21		3,259,002.93-
3 29	000 00	DATA PROCESSING	.00	770.40	1,193.14	193.00		1,386.14-
3 33	000 00	OTHER ITEMS OF EXP	534,000.00	278,307.15	1,109,460.60	668,122.69		1,243,583.29-
9 91	000 00	INTERNAL COST RECVRY	.00	487,980.62-	2,497,623.74-	1,150,312.10-		3,647,935.84
*TOTAL SEC 23			10,433,000.00	1,248,729.88	6,588,000.47	3,505,053.87		339,945.66
*TOTAL PROG 22			31,646,000.00	3,567,983.78	19,636,567.51	8,744,844.54		3,264,587.95
*TOTAL REF 000			270,861,000.00	24,524,859.21	165,382,493.08	19,080,259.73		86,398,247.19
*TOTAL FUND 0000			270,861,000.00	24,524,859.21	165,382,493.08	19,080,259.73		86,398,247.19

EXHIBIT III-A02 (Continued)

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EXHIBIT III-A03

REPORT NAME:	Allotment Status by Object and Organization	REPORT NO:	CSTARA03
PURPOSE:	Displays allotments, expenditure activity and balances.		
DESCRIPTION:	The report lists allotments, expenditure activity and balances by fund, object and organization.		
REPORT REQUEST OPTIONS:			
Report Period:			
FM: CM, PM or PY			
P: C=Current Fiscal Year Only; P=All Prior Fiscal Years; Blank=All Fiscal Years			
Level of Detail:			
<u>Index (I)</u>	<u>Program (P)</u>	<u>Object/Source(O/S)</u>	<u>Fund (F)</u>
1-Section	Not Available	0-No Object	0-No Fund
2-Sub-Section		1-Category	1-Fund & Reference
3-Unit		2-Object	2-Fund Detail &
4-Sub-Unit		3-Object Detail	Reference
5-Sub-Sub-Unit		4-Agency Object	
6-Index			
Fund Selection: Not applicable			
GLA Selection: Applies to the Encumbrances/Allocated Encumbrances column only.			
Blank = Includes Allocated Encumbrances			
6150 = Excludes Allocated Encumbrances			
Additional Report Selection Options Popup Screen: Not available			
Destination Options: All available output media			
FINANCIAL ELEMENTS:			
Allotment:	GLA=6130. The cumulative balance of the allotments through the end of the reporting period. The sum of the applicable Quarterly Allotment and Allotment Revisions fields depending on the report As Of Date: July 1st to September 30th = 1st Quarter Allotment; October 1st to December 31st = 1st & 2nd Quarter Allotment; January 1st to March 31st = 1st, 2nd & 3rd Quarter Allotment; April 1st to June 30th = 1st, 2nd, 3rd & 4th Quarter Allotment. Normal balance is a Credit.		
Expenditures:	GLA=9000, 9822 & 9844. Two expenditure balances are displayed: Current Month: The total of Accrued Expenditures and Cash Expenditures for the month reported. Year-to-Date: The total of Accrued Expenditures and Cash Expenditures since the start of the fiscal year through the month being reported. Normal balance is a Debit.		

EXHIBIT III-A03 (Continued)

REPORT NAME: Allotment Status by Object and Organization	REPORT NO: CSTARA03																												
<p>FINANCIAL ELEMENTS: (continued)</p> <p>Encumbrances/Allocated Encumbrances/ Obligations: GLA=6150, 6160 & 6170 for CM or PM request <u>OR</u> GLA=6150, 6151 & 6170 for PY request. The amount of funds committed against the allotment for goods or services that have not yet been paid. The sum of encumbrances and allocated encumbrances. Normal balance is a Debit.</p> <p>Balance: The balance available in the allotment for future expenditure, encumbrance or obligation. Calculated as the sum of Allotment; Expenditures: Year-To-Date; Encumbrances/Allocated Encumbrances; and Obligations. Normal balance is a Credit.</p>																													
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DATA FIELD	SELECTION OPTIONS	PAGE-BREAK	SUB-TOTAL																										
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Fund	Level of Detail: F	Yes	Yes																										
Reference	Level of Detail: F	Yes	Yes																										
Object	Level of Detail: O/S	Yes	Yes, on Category																										
Organization	Level of Detail: I	No	No																										

EXHIBIT III-A03 (Continued)

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***** PAGE 8
ENACTMENT YEAR: 2000
FFY: 2000
FUND DETAIL: 0000-00
REFERENCE: 000
OBJECT DETAIL: 0-00-000
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S	SS	U	SU	SSU	INDEX	DESCRIPTION
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		EXPENDITURES			ENCUMBRANCE/		
		ALLOTMENT	CURRENT MONTH	YEAR TO DATE	ALLOC	ENC/OBLIG	BALANCE
10 10 43 00 00	1111	AIR CLEANERS DIVISION					
		12,384,000.00	606,317.97	12,539,666.46	4,650,421.72		4,806,088.18-
20 10 22 00 00	1322	AIR PURIFIERS DIVISION					
		25,057,000.00	1,317,819.15	21,954,501.45	6,809,313.93		3,706,815.38-
30 10 17 00 00	2383	REGIONAL AIR OFFICE - SACTO					
		3,815,000.00	162,177.33	3,841,073.02	1,539,744.15		1,565,817.17-
40 40 18 00 00	3826	REGIONAL AIR OFFICE - LA					
		13,020,778.40	645,309.82	12,987,566.61	5,398,490.96		5,365,279.17-
*TOTAL CAT 0		54,276,778.40	2,731,624.27	51,322,807.54	18,397,970.76		15,443,999.90-

EXHIBIT III-A03 (Continued)

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